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## TRANSMITTAL FORM

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Total Number of Pages in This Submission

44

Application Number

09/306,135

Filing Date

May 6, 1999

First Named Inventor

Janice Lynn Farmer et al.

Art Unit

2177

Examiner Name

Khanh B. Pham

013129-00059 Technology Center 2100

### ENCLOSURES (Check all that apply)

- Fee Transmittal Form
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- Amendment/Reply
  - After Final
  - Affidavits/declaration(s)
- Extension of Time Request
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- Drawing(s)
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Firm or Individual

22904 - Locke Liddell & Sapp LLP, by Steven S. Boyd

Signature

Date

November 12, 2003

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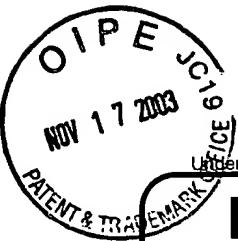
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# FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 320.00)

Complete if Known

Application Number	09/306,135
Filing Date	May 6, 1999
First Named Inventor	Janice Lynn Farmer et al.
Examiner Name	Khanh B. Pham
Art Unit	2177
Attorney Docket No.	013129-00059 Technology Center 2100

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## METHOD OF PAYMENT (check all that apply)

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Deposit Account Name	Locke Liddell & Sapp LLP

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## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)		
1001 750	2001 375	Utility filing fee	
1002 330	2002 165	Design filing fee	
1003 520	2003 260	Plant filing fee	
1004 750	2004 375	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	
SUBTOTAL (1) (\$ 0			

## 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Independent Claims	Multiple Dependent	Extra Claims	Fee from below	Fee Paid
			-20** =	X	=
			- 3** =	X	=

Large Entity	Small Entity	Fee Description
Fee Code (\$)	Fee Code (\$)	
1202 18	2202 9	Claims in excess of 20
1201 84	2201 42	Independent claims in excess of 3
1203 280	2203 140	Multiple dependent claim, if not paid
1204 84	2204 42	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent
SUBTOTAL (2) (\$ 0		

\*\*or number previously paid, if greater; For Reissues, see above

## 3. ADDITIONAL FEES

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Fee Code (\$)	Fee Code (\$)		
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for ex parte reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 410	2252 205	Extension for reply within second month	
1253 930	2253 465	Extension for reply within third month	
1254 1,450	2254 725	Extension for reply within fourth month	
1255 1,970	2255 985	Extension for reply within fifth month	
1401 320	2401 160	Notice of Appeal	
1402 320	2402 160	Filing a brief in support of an appeal	320.
1403 280	2403 140	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,300	2453 650	Petition to revive - unintentional	
1501 1,300	2501 650	Utility issue fee (or reissue)	
1502 470	2502 235	Design issue fee	
1503 630	2503 315	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	
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1809 750	2809 375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 750	2810 375	For each additional invention to be examined (37 CFR 1.129(b))	
1801 750	2801 375	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 320

## SUBMITTED BY

(Complete if applicable)

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Signature				Date	11/12/2003

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## BOARD OF PATENT APPEALS AND INTERFERENCES

*In re Application of:*

JANICE LYNN FARMER, et. al

*Filed:* May 6, 1999

*Serial No.:* 09/306,135

*For:* Hazard Communication System

§ *Group Art Unit:* 2177

§  
§  
§ *Examiner:* Khanh B. Pham

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NOV 20 2003

Technology Center 2100

§ *Attorney Docket No. TH1213*

### APPEAL BRIEF

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**BOARD OF PATENT APPEALS AND INTERFERENCES**

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**JANICE LYNN FARMER, et. al**

*Filed:* May 6, 1999

*Serial No.:* 09/306,135

*For:* Hazard Communication System

§ **Group Art Unit: 2177**

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§ **Examiner: Khanh B. Pham**

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**Attorney Docket No. TH1213**

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**APPEAL BRIEF**

Mail Stop Appeal Brief-Patents  
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Alexandria, VA 22313-1450

Sir:

Appellants hereby timely submit this Appeal Brief, in triplicate; the Notice of Appeal having been filed on September 24, 2003 and the Final Rejection dated May 30, 2003, 37 C.F.R. 1.192(a). The requisite fee set forth in 37 C.F.R. § 1.17(c) may be debited from the Locke Liddell & Sapp LLP Deposit Account No. 12-1322 (Ref. No. 013129-00059).

**REAL PARTY IN INTEREST**

The real party in interest in this appeal is Shell Oil Company, a corporation created and existing under the laws of Delaware, United States, to whom this Application has been assigned.

**RELATED APPEALS AND INTERFERENCES**

No related appeals or interferences exist.

### **STATUS OF CLAIMS**

Claims 1-7, 14, and 18-31 have been rejected on grounds discussed herein. Accordingly, the claims on appeal are Claims 1-7, 14, and 18-31. A copy of the claims on appeal is set forth in the *Appendix*. Each of these claims stands finally rejected for which Appellants bring the present appeal to the Board.

### **STATUS OF AMENDMENT**

No amendment after the Final Office Action dated May 30, 2003 has been filed.

### **SUMMARY OF INVENTION**

The present invention relates to a data-centric hazard communication apparatus and system as claimed by Claims 1-7, 14, and 18-23 and a method for communicating hazard information as claimed by Claims 24-31. The apparatus and the system including the apparatus include an authoring module for identification of hazardous material and its characteristics and a means for disseminating hazard information about said hazardous material, its components, decomposition products of the material, and substances related to the hazardous material wherein said means for disseminating hazard information communicates with said authoring module. In the preferred embodiment, the authoring module further includes an automated means for selectively decompiling said hazardous material, determining its components and decomposition products and their respective characteristics; an automated means for associating said hazardous material and said component characteristics with hazard information, using a user defined set of hazardous material rules; and a means for recompiling said hazardous material and said

components associated with hazard information to provide hazard information about the hazardous material, its components, decomposition products of said hazardous material, and substances related to said hazardous material.

The method for communicating hazard information includes entering information related to a hazardous material and its characteristics into a computerized database; selectively automatically decompiling said hazardous material into its components, and decomposition products and their respective characteristics; automatically associating said hazardous material and component characteristics with hazard information using a set of user defined hazardous material rules; recompiling said hazardous material information associated with said hazardous material and its components; and disseminating said hazardous material information related to said hazardous material and its components.

### ISSUES

The issue on appeal is premised on the grounds of rejection set forth on page 2 of the Final Office Action dated May 30, 2003. The issue is:

1. Whether the Examiner has erred in rejecting Claims 1-7, 14, and 18-31 as being anticipated under 35 U.S.C. § 102(e) by U.S. Patent No. 6,097,995 (“*Tipton*”).

### GROUPING OF THE CLAIMS

1. For purposes of the anticipation rejection under 35 U.S.C. § 102(e) of *Tipton*, Claims 1-7, 14, and 18-31 stand or fall together.

## ARGUMENTS

### The Examiner Has Erred in Rejecting Claims 1-7, 14, and 18-31 Under 35 U.S.C. §102(e).

To anticipate a claim, a reference must disclose every limitation of the claimed invention, either explicitly or inherently. *E.g., In re Schreiber*, 128 F.3d 1473, 1477, 44 U.S.P.Q.2d 1429, 1431 (Fed. Cir. 1997). Anticipation of a patent claim requires a finding that the claim at issue “reads on” a prior art reference. *See, e.g., Titanium Metals Corp. v. Banner*, 778 F.2d 775, 781, 227 U.S.P.Q. 773, 778 (Fed. Cir. 1985). Appellants respectfully assert that the Examiner has erred in claiming the *Tipton* reference reads on Claims 1-7, 14, and 18-31 of the present application.

The Examiner has incorrectly rejected Claims 1-7, 14, and 18-31 Under 35 U.S.C. §102(e), as being anticipated by *Tipton*. Specifically, the Examiner states that *Tipton* discloses:

- “an authoring module for identification of hazardous material, and determining its characteristics” (Col. 41, lines 15-67), the authoring module further comprising:
  - “an automated means for decompiling said hazardous material, and determining its components and their respective characteristics (Col. 26, lines 10-38, Fig. 26);
  - “an automated means for associating said hazardous material and said component characteristics with hazard information, using a user defined set of hazardous material rules” (Col. 41, lines 15-67);
  - “a means for recompiling said hazardous material and said components associated with hazard information about the hazardous material, its components, its’ decomposition products of said hazardous material, and substances related to said hazardous material” (Col. 41, lines 15-67); and

“a means for disseminating hazard information about said hazardous material, its components, decomposition products of the material, and substances related to the hazardous material wherein said means for disseminating hazard information communicates with said authoring module.” (Col. 41, lines 15-67).

For the following reasons, *Tipton* does not anticipate Claims 1-7, 14, and 18-31 of the present application.

**A. *Tipton* Does Not Disclose User Defined Rules.**

Each claim of the present application requires “user defined set of hazardous material rules.” In contrast, *Tipton* does not disclose a user defined set of hazardous material rules. *Tipton* only provides agency and organization rules that are defined by the respective agency or organization in its disclosure of “Information Gathering.” *See* Col. 54, l. 47-col. 59, l. 3. None of these rules are user defined.

The Examiner cites Col. 41, ll. 15-67 of *Tipton* for this element. The only defining function allowed to the use in this section is related to a user defining the report to be generated. *See* Col. 41, ll. 28-30 (“This system, as shown in window 6700 of FIG. 67, allows a user to define his/her own reports and to save the report for later use.”). Though the citation to column 41 of *Tipton* includes references to regulation compliance, “user defined set of hazardous material rules” is not disclosed in *Tipton* in this section or any other portion of the disclosure of *Tipton*. For this reason alone, the Examiner has erred in rejecting Claims 1-7, 14, and 18-31 of the present application in light of *Tipton*.

**B. *Tipton* Does Not Disclose Automatically Associating the Hazardous Material and Component Characteristics.**

*Tipton* also fails to disclose an automated means for selectively decompiling said hazardous material as required by each claim of the present application. The Examiner cites Col.

41, ll. 15-67 of *Tipton* for this element. *Tipton* only discloses the manual entry of information related to a specific substance. *Tipton* discloses the entry of a preset mix that requires that the user identify all components of the mix and the percentages of each component in the mix. *See* Col. 26, ll. 10-38 and Fig. 26. The mix in *Tipton* is fixed and the use is restricted to only add additional containers of this specific preset mix, provided that each contains the very same components and percentages. Any variation in the preset mix requires manual addition of new information to the database. *See* Col. 26, ll. 27-30 (“The preset mix is not easily altered because the system requires a breakdown of the chemical components to be entered into the system.”).

In contrast, Claims 1-7, 14, and 18-31 of the present application require automated means for selectively decompiling said hazardous material. For this additional reason, the Examiner has erred in rejecting Claims 1-7, 14, and 18-31 of the present application in light of *Tipton*.

**C. Tipton Does Not Disclose an Automated Means for Selectively Decompiling the Hazardous Material, Determining its Components and Decomposition Products and Their Respective Characteristics.**

The claims of the present application require a selectively or selectively automatically decompiling the hazardous substance. The Examiner cites Col. 26, ll. 10-38 and Fig. 26 of *Tipton* as disclosing this element. This section of *Tipton* not only fails to disclose “selectively or selectively automatically decompiling the hazardous substance,” but also teaches away from this element, which is required by every claim on appeal.

As previously stated, *Tipton* only discloses the manual entry of information related to a specific substance. *Tipton* discloses the entry of a preset mix that requires that the user identify all components of the mix and the percentages of each component in the mix. *See* Col. 26, ll. 10-38 and Fig. 26. This information does not accommodate information regarding decompiling or the determination of decomposition products. In fact, the mix in *Tipton* is fixed and any

variation in the preset mix, such as decomposition, requires a new addition to the database. *See* Col. 26, ll. 27-30 (“The preset mix is not easily altered because the system requires a breakdown of the chemical components to be entered *into* the system.” (emphasis added)). Rather than disclosing a selectively or selectively automatically decompiling the hazardous substance, *Tipton* only discloses the capability to generate limited MSDS reports only as to the substance and its base ingredients. *See* Col. 41, ll. 44–50.

In contrast, the claims of the present invention require selective decompiling of the hazardous material. Substances may be entered into the present invention database 500 interactively utilizing the Material Information and Composition screens. *Specification*, pp. 8, 24. Records for subsequent containers of the material may be created either interactively, or by copying the existing record, including ranges from the database. *Id.* at p. 24. The rules engine 155 and substance processor 120 may be user programmed to recognize decomposition of certain components in a mixture based on various conditions. *See id.* at p. 13. The present invention as claimed in Claims 1-7, 14, and 18-31 is capable of determining the toxicity and/or hazard information related to the (a) material as blended, (b) intermediate mixtures or products, (c) components, and (d) decomposition products. *See id.* This selective decompiling of the data as claimed allows for a summary deblend, a total deblend, or a purpose deblend. Therefore, because *Tipton* fails to disclose this selective decompiling process as claimed in every claim of the present application, *Tipton* fails to anticipate this element of Claims 1-7, 14, and 18-31 also.

## CONCLUSION

The rejection of Claims 1-7, 14, and 18-31 Under 35 U.S.C. §102(e), as being anticipated by *Tipton* is improper for the reasons discussed herein. Accordingly, Claims 1-7, 14, and 18-31 are in a condition for allowance.

A decision of the Board consistent with this showing is earnestly requested.

Respectfully submitted,



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Date: November 12, 2003

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\_\_\_\_\_  
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Registration No. 42,353



APPENDIX  
CLAIMS ON APPEAL

1. A data-centric hazard communication apparatus comprising:
  - a) an authoring module for identification of hazardous material and its characteristics, the authoring module further comprising:
    - an automated means for selectively decompiling said hazardous material, determining its components and decomposition products and their respective characteristics;
    - an automated means for associating said hazardous material and said component characteristics with hazard information, using a user defined set of hazardous material rules;
    - and a means for recompiling said hazardous material and said components associated with hazard information to provide hazard information about the hazardous material, its components, decomposition products of said hazardous material, and substances related to said hazardous material; and
  - b) a means for disseminating hazard information about said hazardous material, its components, decomposition products of the material, and substances related to the hazardous material wherein said means for disseminating hazard information communicates with said authoring module.
2. The apparatus of claim 1 wherein said means for decompiling said hazardous material comprises a deblending analyzer.

3. The apparatus of claim 2, wherein said means for decompiling hazardous material further comprises a substance processor.
4. The apparatus of claim 1 wherein said means for recompiling hazardous material and said components associated with hazard information is a rules engine for generating words and phrases used in the production of documents and system output.
5. The apparatus of claim 1 wherein said means for disseminating hazard information is a distribution module.
6. The apparatus of claim 1 wherein said means for disseminating hazard information is an on-line module.
7. The apparatus of claim wherein said means for disseminating hazard information is a labeling module.

14. A data-centric hazard communication system comprising:
  - a) an authoring module for entering information about a hazardous material and its characteristics;
  - b) a module for selectively decompiling said hazardous-material into its components and decomposition products and their respective characteristics;
  - c) a rules engine operating on a set of user-defined rules for automatically associating said hazardous material characteristics and its component characteristics with

user-defined hazard information for use in the production of documents and system output to provide hazard information about said hazardous material, its components, and substances related to said hazardous material; and

d) a module for disseminating said hazard information about said hazardous material, its components, and substances related to said hazardous material wherein said module communicates with said authoring module.

18. The system of claim 14, wherein the module for decompiling the hazardous material includes an automated deblending module.

19. The system of claim 18, wherein the module for decompiling the hazardous material further includes a substance processor.

20. The system of claim 14, wherein the rules engine for associating said hazardous material characteristics and its component characteristics with user-defined hazard information further includes a user-defined set of hazardous material rules related to hazardous material and component characteristics.

21. The system of claim 14, wherein said hazard material rules may relate at least one regulatory, transportation, storage, handling, exposure, or emergency requirements for said hazardous material and its components.

22. The system of claim 14, wherein said user-defined hazardous material information is comprised of user-defined words and phrases.

23. The apparatus of claim 1, wherein said user defined set of hazardous material rules may relate to transportation, storage, regulatory, exposure or emergency requirements for said hazardous material and its components.

24. A method for communicating hazard information, the steps comprising:

- (a) entering information related to a hazardous material and its characteristics into a computerized database;
- (b) selectively automatically decompiling said hazardous material into its components, and decomposition products and their respective characteristics
- (c) automatically associating said hazardous material and component characteristics with hazard information using a set of user defined hazardous material rules;
- (d) recompiling said hazardous material information associated with said hazardous material and its components; and
- (e) disseminating said hazardous material information related to said hazardous material and its components.

25. The method of claim 24, wherein step (b) further includes utilizing an automated deblender for decompiling said hazardous material.

26. The method of claim 25, wherein said automated deblender further includes a substance processor.

27. The method of claim 24, wherein said hazardous material rules includes rules relating at least one of regulatory, transportation, storage, handling, exposure or emergency requirements for said hazardous material and its components.

28. The method of claim 24, wherein step (e) further includes the step of automatically disseminating said hazard information online.

29. The method of claim 24, wherein step (e) further includes the step of creating hazardous material labels.

30. The method of claim 24, wherein said hazardous material and its components characteristics are referenced by a rules engine operating on user-defined rules to associate hazard information from a user-defined database of information with said hazardous material and its components.

31. The method of claim 24 wherein said hazard information is comprised of a user defined set of words and phrases.